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| 09/366,114 | 08/02/1999 | ROBERT O. STUART | STUART-ISAM | 2676 |

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| EXAMINER |
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| ART UNIT | PAPER NUMBER |
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2645

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DATE MAILED: 01/02/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

TS

Office Action Summary

Application No.

09/366,114

Applicant(s)

STUART ET AL.

Examiner

Simon Sing

Art Unit

2645

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 11/20/2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-25,27-36,38 and 39 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-25,27-37 and 39 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

DETAILED ACTION

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

1. Claims 1-15 are rejected under 35 U.S.C. 102(e) as being anticipated by Gisby US 5,943,416.

1.1 Regarding claims 1 and 8, Gisby discloses a method and system for an automated customer survey in a call center. Gisbe teaches that a customer is queried about service satisfaction and agent's performance (column 2, lines 13-21). Gisby also teaches:

connecting a caller to a live agent 31 in a call center [service provider] via switch 21 [communication server];

providing a service by the agent to the caller (column 1, lines 14-19; column 7, lines 2-6, 15-16);

requesting the caller to provide feedback data [survey] before hung up (column 5, lines 27-34); column 7, lines 2-6) and

associating the feedback data are with communication server data such caller ID (column 6, lines 56-59), date, time and agent ID (column 2, lines 13-21).

1.2 Regarding claims 2, 9 and 10, Gisby teaches storing the communication server data (column 5, lines 53-57);

1.3 Regarding claims 3 and 11, Gisby teaches providing service to plurality of callers (column 5, lines 18-27) and requesting callers to participate in the survey is performed on an intermittent sampling basis (column 6, lines 36-49).

1.4 Regarding claims 4, and 12, Gisby teaches providing services, which inherently including directory service, airline ticketing, and hotel/restaurant reservation etc., to callers (column 1, lines 15-20).

1.5 Regarding claims 5 and 13, it is inherent that an agent exchange information with a caller in order to provide service.

1.6 Regarding claims 6 and 14, Gisby teaches analyzing the communication server data and reporting the result of said analyzing (column 2, lines 13-21).

1.7 Regarding claims 7 and 15, Gisby teaches receiving feedback data from a caller via either voice recognition or touch tone input (column 4, lines 63-67).

2. Claims 16-19, 22-26, 29-31 and 34-37 are rejected under 35 U.S.C. 102(e) as being anticipated by Shaffer et al, US Patent No. 6,363,145.

2.1 Regarding claim 16, Shaffer discloses a method for automated call monitoring in figures 1-3. Shaffer teaches:

establishing a communication link originated by a customer to a live agent of a service provider (column 2, lines 36-38; column 4, lines 17-18);

monitoring an exchange of information relating to a service (column 2, lines 38-42; column 4, lines 34-43; column 6, lines 25-28);

transferring the customer to a supervisor [triggering an action] (column 6, lines 33-35; column 8, lines 7-11) if a predetermined condition is detected (column 4, lines 48-52; column 7, lines 10-18); and

requesting feedback from the customer by the supervisor. The supervisor inherently will ask the customer for feedbacks regarding the service, since the

supervisor does not know what has caused an argument between the live agent and the customer, [such as what was happening or the cause of the argument].

2.2 Regarding claim 17, Shaffer teaches that the communication link is an ISDN (column 4, lines 6-11).

2.3 Regarding claim 18, Shaffer teaches that the predetermined condition includes a change in voice volume (column 6, lines 43-44; column 7, lines 10-18).

2.4 Regarding claim 19, Shaffer teaches that the exchange of information between a customer and a live agent (column 2, lines 36-38; column 4, lines 17-18), and the predetermined change includes a change in tonal quality in utterances originating from either the customer or the agent (column 4, lines 44-51).

2.5 Regarding claim 22, Shaffer teaches alerting a supervisor [another live agent], before the communication link is terminated (column 5, lines 46-50).

2.6 Regarding claim 23, Shaffer teaches alerting a supervisor [second live agent] before the communication link is terminated (column 5, lines 46-50; column 6, lines 48-52).

2.7 Regarding claims 24 and 25, Shaffer teaches using a recorder to record detected voice data patterns (column 7, lines 25-32), and it is inherent that the recorded voice data patterns are associated with the identity of the live agent for tracking his/her performance.

2.8 Regarding claim 26, as discussed in claim 16, the feedback requested by a supervisor, inherently associated with of the identity of the live agent.

2.9 Regarding claim 29, Shaffer discloses an apparatus for automated call monitoring in figures 1-3. Shaffer teaches:

- a communication link originated by a customer to a live agent of a service provider (column 2, lines 36-38; column 4, lines 17-18);

- an exchange of information relating to a service (column 6, lines 25-28);

- a monitoring device coupling to said communication link (column 4, lines 34-43);

- a triggering action for transferring the customer to a supervisor (column 6, lines 33-35; column 8, lines 7-11) if a predetermined condition is detected (column 4, lines 48-52; column 7, lines 10-18); and

- a customer feedback system [supervisor] requesting feedback from the customer. The supervisor inherently will ask the customer for feedbacks regarding the service, since the supervisor does not know what has caused an argument between the live agent and the customer [such as what was happening or the cause of the argument].

2.10 Regarding claim 30, Shaffer teaches that the communication link is an ISDN (column 4, lines 6-11).

2.11 Regarding claim 31, Shaffer teaches that the predetermined condition includes a change in voice volume (column 6, lines 43-44; column 7, lines 10-18).

2.12 Regarding claim 34, Shaffer teaches alerting a supervisor [another live agent], before the communication link is terminated (column 5, lines 46-50).

2.13 Regarding claim 35, Shaffer teaches using a recorder to record detected voice data patterns (column 7, lines 25-32).

2.14 Regarding claim 36, Shaffer teaches using a recorder to record detected voice data patterns (column 7, lines 25-32), and it is inherent that the recorded voice data patterns are associated with the identity of the live agent for his/her performance.

2.15 Regarding claim 37, as discussed in claim 29, Shaffer teaches transferring [triggering action] the customer to a supervisor [customer feedback system] before said communication link is terminated.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1 and 8 are rejected under 35 U.S.C. 103(a) as being unpatentable over Miller et al. US 5,402,474.

Miller discloses a method and system for storing telephone transaction information in an archive server. Miller teaches:

a customer at telephone 123 initiates a call to a call center, and establishes a communication link with one live agent at telephone 107 (column 3, lines 33-45; column 5, lines 13-16, 67; column 6, lines 1-8);

the agent provides service to the customer (column 5, lines 55-59; column 6, lines 33-39).

In the Miller's reference, the agent interviews the customer and receives a customer's comment (feedback data) indicating whether the customer is happy with the service or not, the comment and other information regarding the call are then entered into the archive server (column 5, lines 21-29; column 7, lines 16-38; column 13, table 6). Since Miller teaches steps of interviewing the customer and receiving feedback data (comments) from the customer, it would have been obvious that the agent must solicit (request) the customer for feedback data. The motivation is obvious that if customers

are solicited or asked to provide feedback data, a supervisor or customer service quality control personnel would have used the feedback data to evaluate the service in order to make improvement.

4. Claims 16 and 29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dezonno US Patent No. 5,737,405 in view of Fedorov et al. US Patent No. 6,047,060.

Dezonno discloses method and system for monitor speech patterns of a customer and a live agent of a call center. Dezonno (405) teaches a monitoring circuit for monitoring the audio signal power of a conversation between the customer and the agent, and if an interruption is detected, a supervisor is notified (column 4, lines 27-67; column 5, lines 1-38), and the conversation is monitored by the supervisor (column 1, lines 47-65). Dezonno fails to teach requesting feedbacks from the customer by the supervisor (customer feedback system).

However, Fedorov discloses a method and system for interactive monitoring calls to a call center, Fedorov teaches that in the prior art (known to the public or published at the time Fedorov files his application), when monitoring a call to the call center, a supervisor may break into the conversation between a caller and an agent, or the call may be transferred to the supervisor (column 2, lines 48-50), such as there is a disagreement (column 2, lines 51-53), request feedbacks from the caller regarding the call and service (column 2, lines 65-67; column 3, lines 1-2).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Dezonno's reference with the teaching of Fedorov, so that a call with interruptions, such a disagreement or argument between a customer and an agent, would have been transferred to, or taken over, by a supervisor, and the customer would have been requested feedbacks to provide information regarding the service to the supervisor, because such a modification would have provided the supervisor with first hand information to resolve the disagreement or argument.

5. Claims 20, 21, 32 and 33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Shaffer et al. US Patent No. 6,363,145 in view of Campbell et al US Patent No. 6,427,002.

5.1 Regarding claims 20, 21 and 32, Shaffer teaches monitoring call session between a live agent and a customer, and triggering [transferring the customer to the supervisor] a predetermined action if a predetermined condition occurs. Shaffer fails to teach that the predetermined condition includes a predetermined word, utters by either the customer or the agent.

However, Campbell discloses a voice response service note. Campbell teaches routing a customer's incoming call to a call center (column 1, lines 52-55; column 3, lines 54-63), monitoring the incoming call, and alarming a management workstation (column 8, lines 9-16). Campbell also teaches voice recognition (column 4, lines 41-45;

column 5, lines 23-31), collecting caller's input and transferring an incoming call (column 5, lines 17-23; column 8, lines 7-9).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Shaffer's reference with the teaching of Campbell, so that a voice recognition unit would have been included to recognize a customer's word from an utterance, such as "supervisor" from "transfer me to your supervisor" or "I want to talk to your supervisor", for requesting a transfer to a supervisor when the customer was frustrated with the live agent, because such a modification would have immediately transferring an incoming call to a supervisor.

5.2 Regarding claim 33, Shaffer teaches monitoring call session between a live agent and a customer, and transferring [triggering] a call to a supervisor if a predetermined condition occurs. Shaffer fails to teach that the predetermined condition includes a key entry recognition subsystem.

However, Campbell discloses a voice response service note. Campbell teaches routing a customer's incoming call to a call center (column 1, lines 52-55; column 3, lines 54-63), monitoring the incoming call, and alarming a management workstation (column 8, lines 9-16). Campbell also teaches collecting DTMF input from a telephone keypad (column 8, lines 7-9).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Shaffer's reference with the teaching of Campbell, so that a key entry recognition unit would have been included, because such

a modification would have enabled a live agent to initiate a transfer from his telephone keypad if a supervisor's involvement would have been necessary.

6. Claims 27, 28, 38 and 39 are rejected under 35 U.S.C. 103(a) as being unpatentable over Shaffer et al. US Patent No. 6,363,145 in view of Maloney et al US Patent No. 5,696,811.

Shaffer teaches monitoring call sessions between live agents and customers and transferring [triggering] a call to a supervisor [another live agent] if a predetermined condition occurs. Shaffer fails to teach monitoring call sessions on an intermittent sampling basis.

However, Maloney discloses a method and system for automatically monitoring the performance quality of call center agents in figures 1-11. Maloney teaches monitoring call sessions intermittently (column 5, lines 17-24).

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Shaffer's reference with the teaching of Maloney, so that the monitoring would have been done on a intermittent sampling basis, because such a modification would have enabled a system with limited monitoring devices to monitor all agents.

Response to Declaration under 37 C.F.R. § 1.131

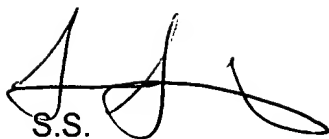
7. The declaration under 37 C.F.R. § 1.131 filed on 06/17/2003 and 11/20/2003 are objected because:

Upon a further review, the Exhibits A-P from the first declaration (file on 06/13/2003) and the supplemental declaration (filed on 11/17/2003) fail to establish conceptions of claimed invention. For example, claim 16 recites a triggering step which is not shown in anywhere of Exhibits A-P and the supplemental declaration.

MPEP section 2138.04 states: "Conception has also been defined as a disclosure of an invention which enables on skilled in the art to reduce the invention to a practical form without 'excise of the inventive faculty'". Exhibits A-P, for example, fail to disclose any steps and mean relating to (a) recognizing keyed format and voice format as recited in claim 7, (b) detecting a predetermined utterance, a keyed entry, a change in a qualitative aspect of a spoken portion of exchange as recited in claim 16, and (c) a triggering device for triggering an action as recited in claim 29. The supplemental declaration shows a figure in that an ISAM (which is referred to as current invention, see first declaration) is connected to various devices (not parts of ISAM), and no detail of the ISAM (such as communications server, detecting device and triggering device) is shown. Although the supplemental declaration shows that a customer is connected to a voice recognition device, which may detect a voice format and a predetermined utterance, but it does not provide enough information to enable one skill in the art to reduced the claimed invention to practice.

Conclusion

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Simon Sing whose telephone number is (703) 305-3221. The examiner can normally be reached on Monday - Friday from 8:30 AM to 5:30 PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Fan Tsang, can be reached at (703) 305-4895. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-4750.


S.S.

12/16/2003

FAN TSANG
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2600

